#44

2176

OIPE JC139
MAR 07 2002
PATENT & TRADEMARK OFFICE

Attorney Docket No.
D/A1320Q1

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of James Shanahan et al.

Group Art Unit: 2176

Application No.: 09/683,240

Examiner: Not yet Assigned

Filed: 12/05/2001

For: META-DOCUMENT MANAGEMENT SYSTEM WITH TRANSIT TRIGGERED ENRICHMENT

RECEIVED
MAR 0 8 2002
Technology Center 2100

Commissioner for Patents
Washington, D.C. 20231

Sir:

INFORMATION DISCLOSURE STATEMENT

Pursuant to 37 C.F.R. 1.56, the attention of the Patent and Trademark Office is hereby directed to the reference(s) and information listed on the attached PTO-1449 Form. One legible copy of each is attached to the PTO-1449 Form. It is respectfully requested that the references and information be expressly considered during the prosecution of this application, and that the reference(s) be made of record therein and appear among the "References Cited" on any patent to issue therefrom.

☒ 1. This Information Disclosure Statement is being filed (a) within three months of the U.S. filing date of the above application (which is not a CPA), **OR** (b) before the mailing date of a first Office Action on the merits. *No certification or fee is required.*

☐ 2. This Information Disclosure Statement is being filed more than three months after the U.S. filing date **AND** after the date of the first Office Action on the merits, but before the mailing date of a Final Rejection, Notice of Allowance, or other action that closes prosecution. Please debit Xerox Corporation Deposit Account 24-0025 in the amount of $180.00 in payment of the fee under 37 C.F.R. 1.17(p). *(A copy of this paper is attached)*

☐ 3. This Information Disclosure Statement is being filed more than three months after the U.S. filing date and after the mailing date of the first Office Action on the merits, but before the mailing date of a Final Rejection or Notice of Allowance; **AND**

☐ a. I hereby certify that each item of information contained in this Information Disclosure Statement was first cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. 1.97(e)(1); **(OR)**

☐ b. I hereby certify that no item of information in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to my knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. §1.56(c), more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. 1.97(e)(2)

☐ 4. This Information Disclosure Statement is being filed after the mailing date of a Final Rejection or Notice of Allowance, but before the payment of the Issue Fee. Please debit Xerox Corporation Deposit Account 24-0025 in the amount of $180.00 in payment of the fee under 37 C.F.R. 1.17(p) *(A copy of this paper is attached);* **AND**

☐ a. I hereby certify that each item of information contained in this Information Disclosure Statement was first cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. 1.97(e)(1); **(OR)**

☐ b. I hereby certify that no item of information in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to my knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. §1.56(c) more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. 1.97(e)(2)

☐ 5. Per 37 C.F.R. 1.98(a)(3), a concise explanation of the relevance of each of any submitted item that is NOT in the English language is either enclosed herewith, or incorporated in the application specification.

☐ 6. A copy of an English language version of an above-referenced counterpart foreign application search report is attached.

☐ 7. Copies of some or all of the subject references were cited by, or submitted to the Office in related parent Application No. , filed , which is relied upon under 35 U.S.C. §120. Thus, copies of these references are not attached (except for copies of cited pending applications). 37 C.F.R. §1.98(d).

☒ 8. A copy of each copending application recited in the parent application of paragraph 7 above, and/or a copy of other related copending applications, is enclosed.

Thomas Zell

Thomas Zell
Signature under 37 CFR 1.33 & 34
Registration No. **37,481**
Telephone No. **650-812-4282**
Date 1/22/2002

RECEIVED
MAR 0 8 2002
Technology Center 2100

Form PTO-1449 US Dept. of Commerce PATENT & TRADEMARK OFFICE	ATTY DOCKET NO. D/A1320Q1	APPLICATION NO. 09/683,240
INFORMATION DISCLOSURE STATEMENT (Use several sheets if necessary)	APPLICANT James Shanahan et al.	
	FILING DATE 12/05/2001	GROUP ART UNIT 2176

OIPE JC139 MAR 0 7 2002 PATENT & TRADEMARK OFFICE

U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	PUBLICATION DATE	NAME OF PATENTEE	CLASS	SUB CLASS
	5,359,514	10/25/94	Manthuruthil et al.	364	419
	5,367,621	11/22/94	Cohen et al.	395	154
	5,822,720	10/13/98	Bookman et al.	704	003
	5,930,787	07/27/99	Minakuchi et al.	707	004
	5,940,614	08/17/99	Allen et al.	395	701
	6,092,074	07/18/00	Rodkin et al	707	102
	6,161,124	12/12/00	Takagawa et al.	709	203

FOREIGN PATENT DOCUMENTS

	COUNTRY	DOCUMENT NUMBER	PUBLICATION DATE	NAME OF PATENTEE OR APPLICANT	TRANSLATION Y/N
	EP	0 986 010 A2	3/15/00	Xerox Corporation.	Y
	EP	1 087 306 A2	03/28/01	Xerox Corporation	Y
	PCT	WO 00/67159 A2	11/09/00	Xerox Corporation	Y
	PCT	WO 01/31479 A1	05/03/01	Zapper Technologies Inc	Y

OTHER DOCUMENTS (Including Author (in CAPS), Title, Publication Date, Pages, etc.)

	U.S. Patent Application Serial No. 09/746,917 "RECOMMENDER SYSTEM AND METHOD", filed 12/22/2000.
	Alexa Internet, "Alexa What's Related for Netscape Navigator", available on the Internet April 2001 at http://www.alexa.com/prod_serv/netscape.html.
	Alexa Internet, "Alexa Related Links for Microsoft IE", available on the Internet April 2001 at http://www.alexa.com/prod_serv/msie.html.
	Autonomy, Technology White Paper, available on the Internet April 2001 at http://www.autonomy.com/echo/userfile/Technology_White_Paper.pdf.
	Autonomy, ActiveKnowledge(TM), available on the Internet April 2001 at http://www.autonomy.com/echo/userfile/PB_Autonomy_ActiveKnowledge(02.01).pdf.
	COOPER ET AL. in "A Simple Question Answering System", published in proceedings of the Ninth Text REtrieval Conference (TREC-9) held in Gaithersburg, Maryland, November 13-16, 2000.

EXAMINER DATE CONSIDERED

Examiner: Initial if citation considered, whether or not citation is in conformance with M.P.E.P. 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

OIPE JC139
MAR 0 7 2002
PATENT & TRADEMARK OFFICE

Form PTO-1449 US Dept. of Commerce PATENT & TRADEMARK OFFICE	ATTY DOCKET NO. D/A1320Q1	APPLICATION NO. 09/683,240
INFORMATION DISCLOSURE STATEMENT (Use several sheets if necessary)	APPLICANT James Shanahan et al.	
	FILING DATE 12/05/2001	GROUP ART UNIT 2176

OTHER DOCUMENTS (Including Author (in CAPS), Title, Publication Date, Pages, etc.)

	"searchandfind, Inxight Thing Finder SDK", Inxight Software, Inc., ThingFinder SDK Data Sheet, available on the Internet April 2001 at http://www.inxight.com/pdfs/products/tf_sdk_ds.pdf.
	JON KLEINBERG, "Authoritative sources in a hyperlinked environment", Technical Report RJ 10076, IBM, May 1997.
	KENICHI KAMIYA, MARTIN RÖSCHEISEN, AND TERRY WINOGRAD. "Grassroots: A System Providing A Uniform Framework for Communicating, Structuring, Sharing Information, and Organizing People". Fifth International World Wide Web Conference, May 6-10, 1996, Paris, France.
	A. MCCALLUM, K. NIGAM, "Text Classification by Bootstrapping with Keywords", EM and Shrinkage, ACL Workshop for Unsupervised Learning in Natural Language Processing, 1999.
	Projects, "Watson", available on the Internet April 2001 at http://dent.infolab.nwu.edu/infolab/projects/project.asp?ID=5.
	BUDZIK, J., AND HAMMOND, K. J., "Watson: Anticipating and Contextualizing Information Needs". In Proceedings of the Sixty-second Annual Meeting of the American Society for Information Science. Information Today, Inc., Medford, NJ, 1999.
	BUDZIK, J., HAMMOND K., AND BIRNBAUM, L. "Information access in context", available on the Internet April 2001 at http://dent.infolab.nwu.edu/infolab/projects/project.asp?ID=5.
	PAUL FESTA, "Amazon pops into consumers reviews with zBubbles", November 17, 1999, available on the Internet at http://news.cnet.com/news/0-1007-200-1452140.html.
	JOHN LAMPING, RAMANA RAO, AND PETER PIROLLI. "A focus+context technique based on hyperbolic geometry for visualizing large hierarchies", in Proceedings of the ACM SIGCHI Conference on Human Factors in Computing Systems, ACM, May 1995.
	Inxight Software, Inc. "Star Tree Walk-Through Tour", available on the Internet April 2001 at http://www.inxight.com/products/star_tree/walk_thru/index.html
	"Network Tools - Zapper [Windows 95/98/2000/NT, IE 4.0+]", The Scout Report, A Publication of the Internet Scout Project Computer Sciences Department, University of Wisconsin-Madison, Volume 7, Number 4, June 9, 2000 available on the Internet at http://scout.cs.wisc.edu/report/sr/2000/scout-000609.html#17
	Netscape's "What's related service FAQ", available on the Internet April 2001 at http://home.netscape.com/escapes/related/faq.html.
	OpenCola Folders, Product and Technology Overview, available on the Internet April 2001 at http://www.opencola.com/products/1_folders/.
	PAZZANI, M., BILLSUS, D., "Learning and Revising User Profiles: The Identification of Interesting Web Sites", Machine Learning 27, Kluwer Academic Publishers, pp. 313-331, 1997.
	THORSTEN JOACHIMS. "A probabilistic analysis of the Rocchio algorithm with TFIDF for text categorization". Technical Report CMU-CS-96-118, School of Computer Science, Carnegie Mellon University, March 1996.
	YOELLE S. MAAREK, ISRAEL Z. BEN SHAUL. "Automatically Organizing Bookmarks per Contents". Fifth International World Wide Web Conference, May 6-10, 1996, Paris, France.
	Zapper Tour, Zapper Technologies Inc., available on the Internet April 2001 at http://www.zapper.com/tour/tour_fr.html.

EXAMINER	DATE CONSIDERED

Examiner: Initial if citation considered, whether or not citation is in conformance with M.P.E.P. 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

OIPE JC139
MAR 0 7 2002
PATENT & TRADEMARK OFFICE

Form PTO-1449 U.S. Dept. of Commerce PATENT & TRADEMARK OFFICE	ATTY DOCKET NO. D/A1320Q1	APPLICATION NO. 09/683,240
INFORMATION DISCLOSURE STATEMENT (Use several sheets if necessary)	APPLICANT James Shanahan et al.	
	FILING DATE 12/05/2001	GROUP ART UNIT 2176

	OTHER DOCUMENTS (Including Author (in CAPS), Title, Publication Date, Pages, etc.)
	WALTER MOSSBERG, "New Windows XP Feature Can Re-Edit Others' Sites", The Wall Street Journal, June 7, 2001.
	LUIS GRAVANO AND HECTOR GARCA-MOLINA, "GIOSS: Text-Source Discovery over the Internet", ACM Transactions on Database Systems, 1999.
	BRADLEY RHODES AND PATTIE MAES, "Just-in-time information retrieval agents", IBM Systems Journal special issue on the MIT Media Laboratory, Vol 39, Nos. 3 and 4, 2000 pp. 685-704.
	SCOTT DEERWESTER, SUSAN DUMAIS, GOERGE FURNAS, THOMAS LANDAUER, AND RICHARD HARSHMAN. "Indexing by latent semantic analysis". Journal of the American Society for Information Science, 41(6):391--407, 1990.
	"Zapper Technology Brief", available on the Internet April 2001 at www.zapper.com.
	"Zapper Technologies Announces Release of Zapper 2.0", available on the Internet April 2001 at www.zapper.com.
	"Inxight Thingfinder", RubberTreePlant.co.uk KM Software Review, April 3, 2001.
	"Autonomy UpdateTM", Read Between The Lines available on the Internet April 2001 at www.autonomy.com.
	"Autonomy ServerTM", Read Between The Lines available on the Internet April 2001 at www.autonomy.com.
	"Smart Tags Overview", available on the Internet June 2001 at www.microsoft.com.
	SHI-KUO CHANG AND TAIEB ZNATI, "Adlet: Active Document for Adaptive Information Integration", available on the Internet July 2001 at http://www.cs.pitt.edu/~chang/365/adlet.html.
	P. IPEIROTIS, L. GRAVANO, AND M. SAHAMI, "Probe, Count, and Classify: Categorizing Hidden-Web Databases", Proceedings of the 2001 ACM SIGMOD International Conference On Management of Data, 2001.

EXAMINER	DATE CONSIDERED

Examiner: Initial if citation considered, whether or not citation is in conformance with M.P.E.P. 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.